Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| Substitute for form 1449A/PTO | | | | Complete if Known | | | |
|-------------------------------|------------------|--------|------------|------------------------|--------------------------|---|--|
| | | | | Application Number | 10/627,873 | _ | |
| INF | ORMATION | ١DI | SCLOSURE | Filing Date | July 28, 2003 | | |
| STATEMENT BY APPLICANT | | | | First Named Inventor | WALLMAN, Steven M.H. | | |
| | | | | Group Art Unit | 3692 | | |
| | (use as many she | ets as | necessary) | Examiner Name | Susanna M. Meinecke Diaz | | |
| Sheet | 1 | of | 4 | Attorney Docket Number | 10392-460041 | | |

| | | U.S. Patent | Danier 1 | U.S. PATENT DOCUM | | | |
|------------------------|-------------|-------------|----------|--|--|--|--|
| Examiner Initials * | Cite No. | te , | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevan Passages or Relevant Figures Appear | |
| | | 4,346,442 | | MUSMANNO | 08-24-1982 | | |
| | | 4,376,978 | | MUSMANNO | 03-15-1983 | | |
| | | 4,566,066 | | TOWERS | 01-21-1986 | | |
| | | 4,597,046 | | MUSMANNO ET AL. | 06-24-1986 | | |
| | | 4,642,768 | | ROBERTS | 02-10-1987 | | |
| | | 4,648,038 | | ROBERTS ET AL. | 03-03-1987 | | |
| | | 4,674,044 | | KALMUS ET AL. | 06-16-1987 | | |
| | | 4,750,121 | | HALLEY ET AL. | 06-07-1988 | | |
| | | 4,751,640 | | LUCAS ET AL. | 06-14-1988 | | |
| | | 4,774,663 | | MUSMANNO ET AL. | 09-27-1988 | | |
| | | 4,910,676 | | ALLDREDGE | 03-20-1990 | | |
| | | 4,933,842 | | DURBIN ET AL. | 06-12-1990 | | |
| | | 4,953,085 | | ATKINS | 08-28-1990 | | |
| | | 4,980,826 | | WAGNER | 12-25-1990 | | |
| | | 4,989,141 | | LYONS ET AL. | 01-29-1991 | | |
| | | 4,994,964 | | WOLFBERG ET AL. | 02-19-1991 | | |
| | | 5,038,284 | | KRAMER | 08-06-1991 | | |
| | | 5,101,353 | | LUPIEN ET AL. | 03-31-1992 | | |
| | | 5,126,936 | | CHAMPION ET AL. | 06-30-1992 | | |
| | | 5,132,899 | | FOX | 07-21-1992 | | |
| | | 5,148,365 | | DEMBO | 09-15-1992 | | |
| | | 5,193,056 | | BOES | 03-09-1993 | | |
| | | 5,202,827 | | SOBER | 04-13-1993 | | |
| | | 5,210,687 | | WOLFBERG ET AL. | 05-11-1993 | | |
| | | 5,214,579 | | WOLFBERG ET AL. | 05-25-1993 | | |
| | | 5,220,500 | | BAIRD ET AL. | 06-15-1993 | | |
| | | 5,227,967 | | BAILEY | 07-13-1993 | | |
| | | 5,262,942 | | EARLE | 11-16-1993 | | |

| Signature | | Considered | |
|------------------|---|-----------------|---|
| 'EXAMINER: Initi | al if reference considered, whether or not citation is in confo | mance with MPEP | 309. Draw line through citation if not in conformance |

EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Indique clatation designation number.² See attracted Kinds of U.S. Patient Documents. Either Office that issued the document, but to be classed the document of the common that is a second to the common to the c

Burten Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of times you are required to complete this form should be sent to the Child Information Office, U.S. Patent and Trademark. Office. Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Examiner

Approved for use through 10/31/2002, OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid QMB control number.

| Substitute for form 1449A/PTO | | | | Complete if Known | | |
|-------------------------------|------------------|--------|------------|------------------------|--------------------------|--|
| | | | | Application Number | 10/627,873 | |
| INF | ORMATION | N DI | SCLOSURE | Filing Date | July 28, 2003 | |
| STATEMENT BY APPLICANT | | | | First Named Inventor | WALLMAN, Steven M.H. | |
| | | | | Group Art Unit | 3692 | |
| | (use as many she | ets as | necessary) | Examiner Name | Susanna M. Meinecke Diaz | |
| Choot | 2 | of | | Attornou Dooket Number | 10302/460041 | |

| 5,270,922 | HIGGINS | 12-14-1993 | |
|-----------|---------------------|-------------|--|
| 5,297,032 | TROJAN ET AL. | 03-22-1994 | |
| 5,375,055 | TOGHER ET AL. | 12-20-1994 | |
| 5,497,317 | HAWKINS ET AL. | 03-05-1996 | |
| 5,517,406 | HARRIS ET AL. | 05-14-1996 | |
| 5,649,116 | MCCOY ET AL. | 07-15-1997 | |
| 5,664,115 | FRASER | 09-02-1997 | |
| 5,671,363 | CRISTOFICH ET AL. | 09-23-1997 | |
| 5,689,650 | MCCLELLAND ET AL. | 11-18-1997 | |
| 5,689,652 | LUPIEN ET AL. | 11-18-1997 | |
| 5,704,045 | KING ET AL. | 12-30-1997 | |
| 5,710,889 | CLARK ET AL. | 01-20-1998 | |
| 5,724,524 | HUNT ET AL. | 03-03-1998 | |
| 5,729,700 | MELNIKOFF | 03-17-1998 | |
| 5,745,706 | WOLFBERG ET AL. | 04-28-1998 | |
| 5,749,077 | CAMPBELL | 05-05-1998 | |
| 5,758,097 | DEBE ET AL. | 05-26-1998 | |
| 5,761,441 | BENNETT | 06-02-1998 | |
| 5,761,442 | BARR ET AL. | 06-02-1998 | |
| 5,765,141 | SPECTOR | 06-09-1998 | |
| 5,774,881 | FRIEND ET AL. | 06-30-1998 | |
| 5,784,696 | MELNIKOFF | 07-21-1998 | |
| 5,794,219 | BROWN | 08-11-1998 | |
| 5,799,287 | DEMBO | 08-25-1998 | |
| 5,806,047 | HACKEL ET AL. | 09-08-1998 | |
| 5,806,049 | PETRUZZI | 09-09819-98 | |
| 5,812,987 | LUSKIN ET AL. | 09-22-1998 | |
| 5,819,237 | GARMAN | 10-06-1998 | |
| 5,873,071 | FERSTENBERG ET AL. | 02-16-1999 | |
| 5,918,217 | MAGGIONCALDA ET AL. | 06-29-1999 | |
| 5,918,218 | HARRIS ET AL. | 06-29-1999 | |
| | | | |

| Signature | | Considered | | | |
|--|--|------------|--|--|--|
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance | | | | | |

Date

and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document under WIPO Standard ST. 16 if possible. ⁴ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Undersity Description Ask of 1005

+

Approved for use through 10/31/2002. CMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

| | Unicer the Paperwo | nk reggiu | ction Act or 1995, no persons air | e required to respond to a collection of | information unless it contains a valid CiviB control number | |
|-----------------------------------|----------------------|-----------|-----------------------------------|--|---|--|
| Substitute | e for form 1449A/PTC |) | | Complete if Known | | |
| | | | | Application Number | 10/627,873 | |
| INF | ORMATIO | N DI | SCLOSURE | Filing Date | July 28, 2003 | |
| STA | ATEMENT | BY / | APPLICANT | First Named Inventor | WALLMAN, Steven M.H. | |
| | | | | Group Art Unit | 3692 | |
| (use as many sheets as necessary) | | | | Examiner Name | Susanna M. Meinecke Diaz | |
| Shoot | 3 | of | 4 | Attorney Docket Number | 10392/460041 | |

| 5,930,774 | CHENNAULT | 07-27-1999 | |
|-----------|------------------|------------|--|
| 5,946,666 | NEVO ET AL. | 08-31-1999 | |
| 5,978,778 | O'SHAUGHNESSY | 11-02-1999 | |
| 5,999,918 | WILLIAMS ET AL. | 12-07-1999 | |
| 6,018,722 | RAY ET AL. | 01-25-2000 | |
| 6,021,397 | JONES ET AL. | 02-01-2000 | |
| 6,035,287 | STALLAERT ET AL. | 03-07-2000 | |
| 6,044,352 | DEAVERS | 03-28-2000 | |

| | FOREIGN PATENT DOCUMENTS | | | | | | | | | |
|-----------|--------------------------|-------------------------|--------------------------------|---------------------------------|--|------------------------|--|--|--|--|
| Examiner | Cite | Foreign Patent Document | | Name of Patentee or | Date of Publication | Pages, Columns, Lines, | | | | |
| Initials* | | | Applicant of Cited Document | of Cited Document MM-DD-YYYY | Where Relevant Passages or Relevant Figures Appear | To | | | | |
| | | EP | WO 98/44443 | | | 10-08-98 | | | | |
| | | EP | WO 98/44444 | | | 10-08-98 | | | | |
| | | EP | WO 99/28845 | | | 06-10-99 | | | | |

| Examiner | Date Considered | |
|-----------|--------------------|--|
| Signature | Considered | |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant.

¹ Unique criation designation number.² See attached Kinds of U.S. Patent Documents.³ Either Office that issued the document to the two-letter code WPPO Standard ST3.1 § For Japanese patent documents, this indication of the year of the relign of the Emporer must proceed the serial number of the patent document. ¹ Kind of ocument by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.² Applicant is to place a check mark here if English implauge Translation is attached.

Burden Hour Statement. This form is estimated to take 2.0 hours to complete. Time will very depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Chier, U.S. Patient and Trademark. Office, Washington, DC 20231, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patients, Washington, DC 20231.

+

Approved for use through 10/31/2002. CMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Substitute for form 1449A/PTO Complete if Known Application Number 10/627.873 INFORMATION DISCLOSURE July 28, 2003 Filing Date STATEMENT BY APPLICANT First Named Inventor WALLMAN, Steven M.H. Group Art Unit (use as many sheets as necessary) Susanna M. Meinecke Diaz Examiner Name 10392/460041 Sheet of 4 Attorney Docket Number

| | | OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS | _ |
|------------------------|-------------|---|-----|
| Examiner Initials * | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T 3 |
| | | "Welcome to DRIP Central" at http://www.dripcentral.com (2 pages), printed Feb. 20, 2001. | |
| | | www.itginc.com/products/posit/posit_more.htm, Jun. 2000. | |
| | | J.Z. Money, 4/97, Vol 26, Issue 4, p 82, Apr. 1997. | |
| | | Business Wire p0699, Feb. 29, 2000. | |
| | | Robert Barker, A Capital-Gains Miracle Worker, BUSINESS WEEK, January 31, 2000, p.130. | |
| | | Anne Tergesen, Here Come the E-Funds, BUSINESS WEEK, January 31, 2000, p. 125. | |
| | | 1998 ADP Investor Communications Services, ProxyEdge™ 2000. | |
| | | Anonymous; Yearbook Supplement, pp. 95-99; Global Investor, 1995; seven pages. | |
| | | Anonymous; The 1996 guide to Switzerland Supplement, pp. 2-5; Euromoney; Mar 1996; seven pages. | |
| | | Web Pages for "One Share of Stock Inc"; Internet web archive; Dec 1996; five pages. | |
| | | John Downes (Editor); Dictionary of Finance and Investment Terms; 1998; Barron's Educational Series, Inc.; Fifth Edition; page 455. | |
| | | Business Editors; Alaska Air Group Inc. Announcement; Business Wire; Sept. 1987; one page | |

| Examiner | Date |
|-----------|------------|
| Signature | Considered |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached. Burdlen Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to emplete this form should be sent to the Chief Information (Direc, U.S. Patent and Trademark.)
Office, Washington, DC 20231, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.